

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Sheldon H. Foss, Jr.

Serial No.: 10/685,277

Filed: 14 October 2003

Confirmation No.: 4917

Group Art Unit: 3628

Examiner: SOUGH, H.

Docket No.: 03001.1030

For: SYSTEM, METHOD AND APPARATUS FOR PROVIDING FINANCIAL SERVICES

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, and specifically:

- ☒ under 37 CFR 1.97(b), or
(within Three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement Under 37 C.F.R. 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before the final office action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).
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Enclosed is a check in the amount of \$.

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Please charge \$ to deposit account .

At any time during the pendency of this application, please charge any fees required to Deposit Account 50-3479 pursuant to 37 CFR 1.25. The Commissioner is hereby requested to credit any overpayment to Deposit Account No. 50-3479.

- ☒ Applicant(s) submit herewith *Form PTO/SB/08A (0705) (substitute for form 1449/PTO) - Information Disclosure Statement by Applicant* together with copies (where required) of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may or may not be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56. As required by 37 C.F.R. §1.98(a), a legible copy of each document is provided.

- ☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on FORM PTO/SB/08A, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent

is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on the form PTO 1449 and is enclosed herewith.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention over any of the listed documents should they be applied as reference, and/or the right to prove that some of these documents may not be prior art, and/or the right to prove that some of these documents may not be enabling for the teachings they purport to offer.

This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. Any statements or identifications regarding the relevance of any portion(s) of cited references should not be construed as a representation that the most relevant portion(s) have been identified, and the absence of such statements or identifications should not be construed as representations that there are no relevant portion(s). The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is requested that the information disclosed herein be made of record in this application and that the Examiner initial and return a copy of the enclosed PTO/SB/08A to indicate the documents have been considered.

Respectfully Submitted,

SMITH FROHWEIN TEMPLE GREENLEE BLAHA LLC

By:


Eric M. Ringer, Reg. No. 47,028

P.O. BOX 88148
Atlanta, GA 30356

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 11

Complete if Known

Application Number	10/685,277
Filing Date	14 October 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3628
Examiner Name	Sough, Hyung
Attorney Docket Number	03001.1030

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A-1	US- 4,104,515		Thornburg et al.	
	B-1	US- 4,360,727		Roger Lehmann	
	C-1	US- 4,417,138		Horst Pfeiffer	
	D-1	US- 4,689,478		Hale et al.	
	E-1	US- 4,694,397		Grant et al.	
	F-1	US- 4,774,663		Musmanno et al.	
	G-1	US- 4,877,947		Mori	
	H-1	US- 4,877,950		Halpern	
	I-1	US- 5,175,416		Mansvelt et al.	
	J-1	US- 5,428,684		Akiyama et al.	
	K-1	US- 5,436,971		Ambrust et al.	
	L-1	US- 5,557,516		Hogan	
	M-1	US- 5,572,004		Raimann	
	N-1	US- 5,577,121		Davis et al.	
	O-1	US- 5,621,796		Davis et al.	
	P-1	US- 5,637,845		Kolls	
	Q-1	US- 5,692,132		Hogan	
	R-1	US- 5,705,798		Tarbox	
	S-1	US- 5,811,771		Dethloff	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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Sheet 2 of 11**Complete if Known**

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	T-1	US- 5,834,757		Fernandes et al.	
	U-1	US- 5,864,830		Armetta et al.	
	V-1	US- 5,914,472		Foladare et al.	
	W-1	US- 5,924,084		De Rooij	
	X-1	US- 5,936,221		Corder et al.	
	Y-1	US- 5,943,423		Muftic	
	Z-1	US- 5,987,439		Gustin et al.	
	A-2	US- 6,016,955		De Rooij et al.	
	B-2	US- 6,045,050		Ippolito et al.	
	C-2	US- 6,047,888		Dethloff	
	D-2	US- 6,062,472		Cheung	
	E-2	US- 6,105,007		Norris	
	F-2	US- 6,119,946		Teicher	
	G-2	US- 6,126,069		Stiefel et al.	
	H-2	US- 6,129,275		Urquhart et al.	
	I-2	US- 6,138,907		Mori et al.	
	J-2	US- 6,142,368		Mullins et al.	
	K-2	US- 6,142,369		Jonstromer	
	L-2	US- 6,152,365		Koils	

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Sheet 3

of 11

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		Number-Kind Code ² (if known)				
	M-2	US-	6,167,387		Lee-Wai-Yin	
	N-2	US-	6,173,269		Solokl et al.	
	O-2	US-	6,243,688		Kalina	
	P-2	US-	6,279,824		Park	
	Q-2	US-	6,293,462		Gangi	
	R-2	US-	6,295,522		Boesch	
	S-2	US-	6,394,343		Berg et al.	
	T-2	US-	6,439,456		Bansal et al.	
	U-2	US-	6,450,407		Freeman et al.	
	V-2	US-	6,505,171		Cohen et al.	
	W-2	US-	6,507,644		Henderson et al.	
	X-2	US-	6,611,819		Oneda	
	Y-2	US-	6,615,189		Phillips et al.	
	Z-2	US-	6,615,190		Slater	
	A-3	US-	5,025,138		Vincent Cuero	
		US-				
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS						
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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

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Sheet 4 of 11**Complete if Known**

Application Number	10/685,277
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First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3628
Examiner Name	Sough, Hyung
Attorney Docket Number	03001.1030

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
	N-3	US- 2001/0011249		Yanagihara et al.	
	O-3	US- 2001/0013018		Awano	
	P-3	US- 2001/0032878		Tsiounis et al.	
	Q-3	US- 2001/0034722		Tidball et al.	
	R-3	US- 2001/0037299		Nichols et al.	
	S-3	US- 2001/0042784		Fite et al.	
	T-3	US- 2001/0045454		Gangi	
	U-3	US- 2002/0002533		Singhal	
	V-3	US- 2002/0020738		Campbell et al.	
	W-3	US- 2002/0040925		Weber	
	X-3	US- 2002/0088849		Nichols et al.	

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Sheet 5

of 11

Application Number	10/685,277
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Filing Date	14 October 2003
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First Named Inventor	Sheldon H. Foss, Jr.
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Art Unit	3628
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Examiner Name	Sough, Hyung
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Attorney Docket Number	03001.1030
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[illegible][illegible]

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Signature

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Sheet 6

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U. S. PATENT DOCUMENTS

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		Number-Kind Code ² (if known)			
	A-6	US- 4718009		Vincent Cuervo	
	B-6	US- 4742457		Tomas Leon et al	
	C-6	US- 5010485		Steven T. Bigari	
	D-6	US- 5025138		Vincent Cuervo	
	E-6	US- 5025372		James F. Burton	
	F-6	US- 5262941		Emery F. Saladin et al	
	G-6	US- 5297026		Frank Hoffman	
	H-6	US- 5710889		Barry Alan Clark	
	I-6	US- 5845260		Hiroaki Nakano	
	J-6	US- 5870724		Matthew P. Lawlor et al	
	K-6	US- 5890140		Barry Alan Clark	
	L-6	US- 5940811		Jeffrey Norris	
	M-6	US- 6105865		Laurence Daniel Hardesty	
	N-6	US- 6354490		Lawrence Weiss	
	O-6	US- 6560581		Barbara L. Fox	
	P-6	US- 6587841		James R. DeFrancesco	
		US-			
		US-			
	S-6	US- 2001/0007332		Donald W. Kjonas et al	

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	T-6	US- 2001/0013545		Edward J. Hogan	
	U-6	US- 2001/0029489		George Brookner et al	
	V-6	US- 2001/0034722		Thomas H. Tidball et al	
	W-6	US- 2001/0037299		Henry R. Nichols et al	
	X-6	US- 2002/0088849		Henry R. Nichols et al	
	Y-6	US- 2002/0117541		Lynne Biggar et al	
	Z-6	US- 2002/0125310		Klaus Kursawe	
	A-7	US- 2002/0138447		Joseph T. Van Leeuwen	
	B-7	US- 2002/0198825		Karl E. Jentoft	
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Application Number	10/685,277
Filing Date	14 October 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3628
Examiner Name	Sough, Hyung
Attorney Docket Number	03001.1030

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 9

of 11

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U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	T-8	US- 5559887		Terry L. Davis et al	
	U-8	US- 5644118		Shoji Hayashida	
	V-8	US- 5652786		Catherine R. Rogers	
	W-8	US- 5689100		David C. Carrithers	
	X-8	US- 5705798		Andrew W. Tarbox	
	Y-8	US- 5732136		David L. Murphee	
	Z-8	US- 5770843		Manning I. Rose	
	A-9	US- 5815657		Humphrey Willimas et al	
	B-9	US- 5870456		Catherine R. Rogers	
	C-9	US- 5884289		Douglas D. Anderson et al	
	D-9	US- 5914472		Mark Jeffrey Foladare et al	
	E-9	US- 5952639		Masayuki Ohki	
	F-9	US- 5953710		Steehen S. Fleming	
	G-9	US- 5955961		Robert S. Wallerstein	
	H-9	US- 5984192		Enio Calcavara, Jr et al	
	I-9	US- 6010067		Hector Daniel Elbaum	
	J-9	US- 6065675		Mordechai Teicher	
	K-9	US- 6095411		Hartmut Schrenk	
	L-9	US- 6105007		Jeffrey A. Norris	

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		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

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Sheet 10 of 11	Attorney Docket Number	03001.1030	

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		Number-Kind Code ² (if known)			
	M-9	US- 6105862		Jean-Claude Pailles et al	
	N-9	US- 6243688		Dyan T. Kalina	
	O-9	US- 6293462		Frank J. Gangi	
	P-9	US- 6325292		Richard P. Sehr	
	Q-9	US- 6327578		Mark Linehan	
	R-9	US- 6422462		Morris E. Cohen	
	S-9	US- 6488206		Mark S. Flaig et al	
	T-9	US- 6505772		Cassandra J. Mollett et al	
	U-9	US- 6527192		Randice-Lisa Altshul et al	
	V-9	US- 6578761		Donald Spector	
	W-9	US- 6601771		Phillipe A. Charrin	
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**INFORMATION DISCLOSURE
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Sheet **11** of **11****Complete if Known**

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		Number-Kind Code ² (if known)			
		US-			
		US-			
	H10	US- 2001/0013018		Koichi Awano	
	I10	US- 2001/0034722		Thomas H. Tidball	
	J10	US- 2001/0037299		Henry R. Nichols	
	K10	US- 2001/0045454		Frank J. Gangi	
	L10	US- 2002/0002533		Tara Chand Singhai	
	M10	US- 2002/0002534		Terry L. Davis et al	
	N10	US- 2002/0020738		Bernard Joseph Cambell et al	
	O10	US- 2002/0033417		Jae-Sung Jeon	
	P10	US- 2002/0040925		Juergen Weber	
	Q10	US- 2002/0088849		Henry R. Nichols et al	
	R10	US- 2002/0161705		Sajid Ali Mirza Khan et al	
	S10	US- 2003/0075610		Yong Kin Ong	
	T10	US- 2003/0168510		R. Kendall Allen	
		US-			
		US-			
		US-			
		US-			

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